



ATTORNEY'S DOCKET NO: C01104/70089 (RFG/JT)

MP  
#38

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No:

Frederick M. Morgan, Ihor A. Lys, George G. Mueller, and Kevin J. Dowling  
10/040,292

Confirmation No:

1752

Filed:

October 25, 2001

For:

LIGHT SOURCES FOR ILLUMINATION OF LIQUIDS

Examiner:

Unassigned

Art Unit:

2821

COPY OF PAPERS  
ORIGINALLY FILED

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to the Commissioner for Patents, Washington, D.C. 20231, on the 14th day of May, 2002.

*Janine Michalski*  
Janine Michalski

BOX: MISSING PARTS  
COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

TRANSMITTAL LETTER

Sir:

Transmitted herewith for filing are the following documents:

- [X] RESPONSE TO THE NOTICE TO FILE MISSING PARTS
- [X] COPY OF NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION
- [X] DECLARATION FOR PATENT APPLICATION
- [X] COPY OF FILING RECEIPT MARKED WITH CORRECTIONS IN RED
- [X] PETITION FOR ONE MONTH EXTENSION OF TIME
- [X] LETTER TO THE OFFICIAL DRAFTSPERSON
- [X] TWENTY (20) SHEETS OF FORMAL DRAWINGS (FIGS. 1-20)
- [X] RETURN POSTCARD

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned collect at (617)720-3500, Boston, Massachusetts.

A check in the amount of \$1,320.00 is enclosed to cover the basic filing fee, the surcharge for the filing of the late declaration, the fee for additional claims, the multiple dependent claim surcharge and a One Month Extension. If the fee is insufficient, the balance may be charged to the account of the undersigned, Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully submitted,

Frederick M. Morgan, et al., Applicants

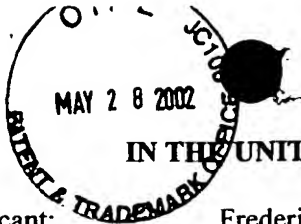
By:

*Richard F. Giunta*  
Richard F. Giunta, Reg. No. 36,149  
Joseph Teja, Jr., Reg. No. 45,157  
Wolf, Greenfield & Sacks, P.C.  
600 Atlantic Avenue  
Boston, MA 02210  
Tel. (617) 720-3500  
Attorneys for Applicants

Docket No. C01104/70089 (RFG/JT)

Dated: May 14, 2002

X (5/14/02)



ATTORNEY'S DOCKET NO. 1104/70089 (RFG/JT)

#3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Frederick M. Morgan, Ihor A. Lys, George G. Mueller, and Kevin J. Dowling  
Serial No: 10/040,292  
Confirmation No: 1752  
Filed: October 25, 2001  
For: LIGHT SOURCES FOR ILLUMINATION OF LIQUIDS  
Examiner: Unassigned  
Art Unit: 2821

COPY OF PAPERS  
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Janine Michalski

BOX: MISSING PARTS  
COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

RESPONSE TO THE NOTICE TO FILE MISSING PARTS

Sir:

In response to the Notice to File Missing Parts dated February 14, 2002, Applicants respectfully submit for filing an original document entitled Declaration for Patent Application and substitute drawings in compliance with 37 C.F.R. 1.84.

Applicants also respectfully note here that the Domestic Priority Data as Claimed by Applicants appearing on the filing receipt following this Response should appear as follows:

THIS APPLN CLAIMS BENEFIT OF 60/243,250 10/25/2000  
AND CLAIMS BENEFIT OF 60/296,377 06/06/2001  
AND CLAIMS BENEFIT OF 60/297,828 06/13/2001  
AND CLAIMS BENEFIT OF 60/290,101 05/10/2001  
AND A CIP OF 09/669,121 09/25/2000  
WHICH IS A CON OF 09/425,770 10/22/1999 PAT 6,150,774  
WHICH IS A CON OF 08/920,156 08/26/1997 PAT 6,016,038  
THIS APPLICATION 10/040,292  
IS A CIP OF 09/215,624 12/17/1998  
AND A CIP OF 09/213,607 12/17/1998

20040292-0330-2520400T

AND A CIP OF 09/213,189 12/17/1998  
AND A CIP OF 09/213,581 12/17/1998  
AND A CIP OF 09/213,540 12/17/1998  
AND A CIP OF 09/333,739 06/15/1999  
AND A CIP OF 09/344,699 06/25/1999  
AND A CIP OF 09/616,214 07/14/2000  
AND A CIP OF 09/870,418 05/30/2001  
AND A CIP OF 09/805,368 03/13/2001  
AND A CIP OF 09/805,590 03/13/2001  
AND A CIP OF 09/870,193 05/30/2001  
AND A CIP OF 09/742,017 12/20/2000  
WHICH IS A CON OF 09/213,548 12/17/1998 PAT 6,166,496  
AND 09/815,418 03/22/2001  
WHICH ALSO IS A CON OF 09/213,548 12/17/1998 PAT 6,166,496  
THIS APPLN CLAIMS BENEFIT OF 60/071,281 12/17/1997  
AND CLAIMS BENEFIT OF 60/068,792 12/24/1997  
AND CLAIMS BENEFIT OF 60/078,861 03/20/1998  
AND CLAIMS BENEFIT OF 60/079,285 03/25/1998  
AND CLAIMS BENEFIT OF 60/090,920 06/26/1998

A copy of the Filing Receipt marked with corrections in red is enclosed.

The check enclosed includes the fee of \$1,320.00 for payment of the basic filing fee, the surcharge for the filing of the late declaration, the fee for additional claims, the multiple dependent claim surcharge, and a One Month Extension. If the fee is insufficient, the balance may be charged to the account of the undersigned, Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully submitted,

Frederick M. Morgan, et al., Applicants

By: 

Richard F. Giunta, Reg. No. 36,149  
Joseph Teja, Jr., Reg. No. 45,157  
Wolf, Greenfield & Sacks, P.C.  
600 Atlantic Avenue  
Boston, MA 02210  
Tel. (617) 720-3500  
Attorneys for Applicants

Docket No. C01104/70088 (RFG/JT)  
Dated: May 14, 2002



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/040,292	10/25/2001		C01104/70089 RFG

23628  
WOLF GREENFIELD & SACKS, PC  
FEDERAL RESERVE PLAZA  
600 ATLANTIC AVENUE  
BOSTON, MA 02210-2211

CONFIRMATION NO. 1752

## FORMALITIES LETTER



\*OC000000007473707\*

Date Mailed: 02/14/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 370 to complete the basic filing fee for a small entity.*
- Total additional claim fee(s) for this application is \$830.
  - \$522 for 58 total claims over 20.
  - \$168 for 4 independent claims over 3.
  - \$140 for multiple dependent claim surcharge.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1265.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawings submitted to the Office are not electronically reproducible. Drawing sheets must be submitted on paper which is flexible, strong, white, smooth, non-shiny, and durable (see 37 CFR 1.84(e));

05/29/2002 DCHAU1 00000061 10040292

01 FC:201	370.00 OP
02 FC:203	522.00 OP
03 FC:202	168.00 OP
04 FC:204	140.00 OP
04 FC:205	55.00 OP

*A copy of this notice **MUST** be returned with the reply.*



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

20250125 10040292.053802



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ORIGINALLY FILED

Page 1 of 2

#3

RFG

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/040,292	10/25/2001	2821	0.00	C01104/70089 RFG	20	73	7

23628  
WOLF GREENFIELD & SACKS, PC  
FEDERAL RESERVE PLAZA  
600 ATLANTIC AVENUE  
BOSTON, MA 02210-2211

CONFIRMATION NO. 1752 /

FILING RECEIPT



\*0C000000007473706\*

Date Mailed: 02/14/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/243,250 10/25/2000  
AND CLAIMS BENEFIT OF 60/296,377 06/06/2001  
AND CLAIMS BENEFIT OF 60/297,828 06/13/2001  
AND CLAIMS BENEFIT OF 60/290,101 05/10/2001  
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AND A CIP OF 09/344,699 06/25/1999  
AND A CIP OF 09/616,214 07/14/2000  
AND A CIP OF 09/870,418 05/30/2001 \*  
AND A CIP OF 09/805,368 03/13/2001  
AND A CIP OF 09/805,590 03/13/2001  
AND A CIP OF 09/870,193 05/30/2001  
(\* Data inconsistent with PTO records.  
AND A CIP OF 09/742,017 12/20/2000

DOCKETED  
FEB 25 2002

File Folder	<input checked="" type="checkbox"/>	Initials
ECB	<input checked="" type="checkbox"/>	
Docket Entry	<input checked="" type="checkbox"/>	
Docket Cross Off	<input checked="" type="checkbox"/>	
Order Copies	<input checked="" type="checkbox"/>	
Annulment	<input type="checkbox"/>	
Confirmation	<input type="checkbox"/>	

10-25-02 (2) -afe  
1. 04-03 ✓  
3. 14-02 ✓

Foreign Applications

WHICH IS A CON OF 09/213,548 12/17/1998 PAT 6,166,496  
AND 09/815,418 03/22/2001  
WHICH ALSO IS A CON OF 09/213,548 12/17/1998 PAT 6,166,496

THIS APPLN CLAIMS BENEFIT OF 60/071,281 12/17/1997  
 AND CLAIMS BENEFIT OF 60/068,790 12/24/1997  
 AND CLAIMS BENEFIT OF 60/078,861 03/20/1998  
 AND CLAIMS BENEFIT OF 60/079,225 03/25/1998  
 AND CLAIMS BENEFIT OF 60/090,920 06/26/1998

If Required, Foreign Filing License Granted 02/12/2002

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

**\*\* SMALL ENTITY \*\***

Title

Light sources for illumination of liquids

Preliminary Class

315

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**LICENSE FOR FOREIGN FILING UNDER  
 Title 35, United States Code, Section 184  
 Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Frederick M. Morgan, Ihor A. Lys, George G. Mueller, and Kevin J. Dowling  
Serial No: 10/040,292  
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Art Unit: 2821

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Janine Michalski  
Janine Michalski

BOX: MISSING PARTS  
COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

LETTER TO THE OFFICIAL DRAFTSPERSON

Sir:

We enclose twenty (20) sheets of formal drawings (Figs. 1-20) for the above-identified patent application.

Please charge any fees or credit any overpayment to Deposit Account 23/2825.

Respectfully submitted,

Frederick M. Morgan, et al., Applicants

By: Richard F. Giunta

Richard F. Giunta, Reg. No. 36,149  
Joseph Teja, Jr., Reg. No. 45,157  
Wolf, Greenfield & Sacks, P.C.  
600 Atlantic Avenue  
Boston, MA 02210  
Tel. (617) 720-3500  
Attorneys for Applicants

Docket No. C01104/70089 (RFG/JT)  
Dated: May 14, 2002